**Workington Town Council**

**Corporate Risk Register 2022-2023**

1. **Political and Reputational**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Risk** | **Impact H/M/L/N** | **Likelihood H/M/L/N** | **Risk Score** | **Outcomes** | **Response** | **Comments**  |
| Poor consultation & representation | H | L | 8 | Poor two-way consultation, resulting in loss of reputation, goodwill, understanding etc. | Ensure all consultation from other organisations, bodies, agencies and individuals is properly scheduled for consideration and due dates are met Ensure all consultations from Town Council are objective  |  |
| Non-compliance with Freedom of Information legislation | H | M | 12 | Adverse findings by ICO | Freedom of Information policyAll formal requests notified to Finance & GP Committee |  |
| Elections :Failure to properly induct councillors following election | H | H | 16 | Reputational damage. Disqualification of councillors; Challenge to validity of Council decisions | Proper officer to ensure all induction procedures (especially Declarations) are commenced within 2 working days of election |  |
| Capability of councillors | H | H | 16 | Poor policy-making and decision-making | Councillors must be actively encouraged to undertake training: it may be compulsory for some functions |  |
| Value for moneyCouncil is not seen to be providing value for money | H | H | 16 | Reputational damage; services are not successful | Detailed Annual Report showing what people get for their money |  |
| Failure of devolution of assets and services | H | H | 16 | Local control over assets and services is lost; “assets” may become liabilities | Positive engagement with principal Council over assets and service transfers |  |
| Inadequate public communication | M | M | 6 | Loss of reputation and goodwill | Minutes/agendas and associated reports to be available online.Periodic press releases Use of Town Council noticeboard Timely responses to all correspondence, consultations etc. Respecting electors rights by encouraging attendance at meetings and other appropriate occasions Production of Annual report for Town Assembly | Press releases are regularly issued. Notice Boards used. Meetings open to the public in accordance with the latest legislation. |

1. **Financial**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Risk** | **Impact H/M/L/N** | **Likelihood H/M/L/N** | **Risk Score** | **Outcomes** | **Response** | **Comments**  |
| Insufficient funding to enable the Council to meet its objectives;failure to maintain a safe and balanced budget | H | L | 8 | Unable to deliver or fully deliver the Council’s planned services, activities and events | Prepare an annual budget and precept Undertake an annual review of charges Make longer term financial forecasts and commitments to be kept under review Committees to monitor actual spend against budgetReserves policy to be adopted and reserves position monitored by F& GP CommitteeAccounts to be prepared in accordance with appropriate frameworks. Members must be actively involved in these processes at several points to provide an assurance of the adequacy of the council’s internal control environment. | The Council has approved a precept for the 2022/23 financial year.  |
| Losses due to fraud, error, misapplication of funds, theft or inadequate systems of internal financial control | H | L | 8 | Reputational costs, inconvenience and motivational costs, additional stress and strain | Ensure sound financial instructions and procedures are in place Ensure financial regulations are complied with. Ensure sound systems of internal and audit check, controls and balances are in place Ensure financial records are accurately maintained on a high priority basis Prepare annual accounts in accordance within the latest regulatory framework Ensure an annual independent internal audit takes place and recommendations adhered toProvide appropriate insurance cover to mitigate against losses caused by these “threats” e.g. fidelity guarantee, money, theft, all Risks cover | Financial Regulations are in place and are reviewed annually by FGP Committee. A separate bank account has been created for funds raised on behalf of the Mayor’s Charity.Internal auditor appointed for 2019/20 and reviewed on an annual basis. |
| Security of monies, reserves resources and assets | H | L | 8 | Physical Loss and expense to the Council | Ensure sound systems are in place for the recording, administration and banking of cash and chequesUndertake a monthly bank reconciliationEnsure monies are banked promptlyProvide a secure officeRegularly review the inventory of assets and assert Council ownership and control if necessary. | Bank reconciliations are carried out monthly & reported to members bi-monthly. Money is banked promptly. The office is within a secure building, |
| Overpayment for assets and services | H | M | 12 | Loss of funds to Council: personal surcharge of councillors | Adhere to Financial Regulations and procurement requirements when purchasing assets or services. |  |
| Property Income | H | M | 12 | Income from rentals not achieved | Monitor ability of tenants to pay | Ranch: Ensure lease is agreed so completion is done in parallel with completion of purchase |

1. **Social**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Risk** | **Impact H/M/L/N** | **Likelihood H/M/L/N** | **Risk Score** | **Outcomes** | **Response** | **Comments**  |
| Disease and pandemic | H | H | 16 | Increasing and unsustainable demands on Council | Monitor health, social, and economic conditions in the town |  |
| Public health and worsening of long-term health and well-being | H | H | 16 |  |  |  |
| Economic problems lead to higher unemployment and increasing poverty | H | H | 16 |  |  |  |

1. **Technological**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Risk** | **Impact H/M/L/N** | **Likelihood H/M/L/N** | **Risk Score** | **Outcomes** | **Response** | **Comments**  |
| Cyber and data security | H | L | 8 | Loss of data and information records | Review all data security and information systems regularly |  |
| Failure to maintain secure information systems | H | M | 12 |  |  |  |
| Failure to comply with GDPR |  |  |  |  |  |  |
| Over reliance on digital systems excludes citizens and councillors without digital access |  |  |  | Loss of trust and confidence in Council in those sectors of community | Ensure paper copies are available and continue to use traditional media alongside new IT |  |

1. **Legal**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Risk** | **Impact H/M/L/N** | **Likelihood H/M/L/N** | **Risk Score** | **Outcomes** | **Response** | **Comments**  |
| Ultra Vires | H | H | 16 | Possible surcharge on elected members, disqualification from office, reputational loss | Ensure the Council keeps up to date with all necessary legislation Take up and/or maintain membership of appropriate bodies such as CALC and SLCCCouncillor trainingUpdate Standing Orders | The Council’s membership of bodies such as CALC and Society of Local Council Clerks (SLCC) helps ensure that it keeps up to date with legislation and continues to act within its powers and complies with appropriate requirements.  |
| Non-compliance with external legal requirementsE.g., PAYE, VAT, Inland Revenue, Data Protection, Health & Safety, Human Rights, Employment Law, Accounts & Audit Regulations, Equality,FOI Act, | H | L | 8 | Possibility of fines for failure to meet obligations, court action, tribunal etc. | Ensure the Council keeps up to date with all necessary legislation Use or buy expertise if the necessary expertise is not available in-house Undertake appropriate staff training Take up and/or maintain membership of appropriate bodies such as SLCC, Keep abreast of ‘good practice’ guidelines.Review policiesA Data Retention Policy will be agreed and implemented | The Council’s membership of bodies such as CALC and SLCC helps ensure that it keeps up to date with legislation. This helps ensure that the Council continues to act within its powers and complies with appropriate requirements. The Clerk and the Council is also able to call on the SLCC and CALC for advice and support. The Town Council payroll services are managed by Allerdale BC |
| Non Compliance with Council’s own procedures, including Local Government law | M | H | 12 | Possible legal action against Council. Personal surcharge of councillors | High standards of recording minutes and other council business decisions Respecting electors rights by allowing attendance at meetings and other appropriate occasions Good conduct and adherence to National Code of Conduct at all times Properly conducted meetings, complying with standing orders Proper recording of members interests and gifts etc. Applying sound principles when dealing with representational matters, particularly in local planning and licensing issues |  |

1. **Environmental**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Risk** | **Impact H/M/L/N** | **Likelihood H/M/L/N** | **Risk Score** | **Outcomes** | **Response** | **Comments**  |
| Contracted providers do not provide value for money | M | H | 12 | Service Failure | Systems to monitor contracts and contractors |  |
| Contracted providers do not deliver contracted service | M | H | 12 |  |  |  |

1. **Staff**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Risk** | **Impact H/M/L/N** | **Likelihood H/M/L/N** | **Risk Score** | **Outcomes** | **Response** | **Comments**  |
| Staffing numbers and profiles inadequacies/ inefficiencies | H | H | 16 | Reputational loss and cost | Staff appraisal development and training Professional courses Encourage membership of appropriate supporting organisations (SLCC etc.) Provide appropriate insurance cover for negligence etc. Budget Provision for “unforeseen” | Annual performance appraisal of staff carried out and monthly 1-2-1 staff meetings take place between the Town Clerk and chair of FGPStaff training needs are kept under review. Monthly meetings between the Town Clerk and staff will identify training need The Town Council has approved a Training and Development Policy for staff  |
| Long term absence of staff | M | M | 9 | Unable to deliver the Council’s activities | Ensure that a Deputy Proper Officer is designated so that meetings can be called in absence of a Proper Officer.Ensure that the staff are competent in managing and clerking meetings to ensure that the Town Council can operateEnsure budget provision to cover additional hours/temporary staff |  |

1. **Organisational**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Risk** | **Impact H/M/L/N** | **Likelihood H/M/L/N** | **Risk Score** | **Outcomes** | **Response** | **Comments**  |
| Events – own account | M | L | 6 | Inability to deliver service, resulting in expense, loss of reputation and goodwill | Ensure appropriate budget is in place Ensure sufficient staff are available to provide necessary support Ensure proper orders and/or contracts with venue and contractors are in place to minimise Risk and embarrassment Undertake appropriate event specific Risk assessments to reduce or remove accidents Risks | Culture Committee meets bi-monthly and has oversight of events.Risk Assessments are undertaken. All required licences are applied for.  |
| Recurring Commitments – Core funding | M | L | 6 | Inability to provide funds resulting in an inability to deliver the service, resulting in expense to the third party and loss of reputation and goodwill. | The Council will receive an annual proposal setting out any changes from previous yearsEnsure appropriate budget is in placeEnsure funded organisations can deliver and monitor results | The Council may enter into multi-year funding arrangements with many organisations previously subjected to requirements to apply annually. Members will receive an annual report from these organisations on how the funding was used and benefitted residents. |
| Recurring Commitments - Festivals ; other bodies | H | M | 12 | Inability to deliver service, resulting in expense, loss of reputation and goodwill | The Council will receive an annual proposal setting out any changes from previous yearsEnsure appropriate budget is in placeEnsure funded organisations can deliver and monitor results |  |
| Community Grants Scheme | H | H | 16 | Inability to provide funds to grant applicants. | Ensure appropriate budget is in place Ensure that the grants scheme documentation is regularly reviewedEnsure sufficient staff are available to provide necessary support to applicantsEnsure funded organisations can deliver and monitor results |  |
| Community Awards, ad hoc events and activities |  |  |  | Inability to deliver the services and opportunities to the community | Ensure appropriate budget is in place Ensure sufficient staff are available to provide necessary support Undertake appropriate Risk assessments to reduce or remove Risk of accidents Partnership opportunities. | Budgets, staff and relationships with others are in place. Risk Assessments are undertaken. Members have oversight of special events, services and activities. |

1. **Health and Safety**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Risk** | **Impact H/M/L/N** | **Likelihood H/M/L/N** | **Risk Score** | **Outcomes** | **Response** | **Comments**  |
| Accidents (elected members and public)& liabilitiesNegligence | H | M | 12 | Possibility of fines for failure to meet obligations, court action etc., Compensation payments, damages etc. | Ensure public liability cover is in place and that the level of cover is adequate Ensure that duty of care is uppermost when planning and/or providing a service or activity (Risk assessments) Regularly inspect premises and equipment | Appropriate insurance is in place. Activities & events to be appropriately Risk Assessed. The Council’s health & safety documentation and procedures are subject to review and inspection to ensure that they continue to meet the council’s business needs and statutory obligations.  |
| Accidents (staff)Negligence | H  | L | 8 | Costs of staff time, replacement, and possible compensation claims etc. | Ensure employer liability cover is in place and that the level of cover is adequate Ensure that duty of care is uppermost when planning and/or providing a serve or activity (Risk assessments) Regularly inspect premises and equipment | Appropriate insurance is in place and activities are Risk Assessed. The Council’s health & safety documentation and procedures are subject to review and inspection to ensure that they continue to meet the council’s business needs and statutory obligations. |